

CERTIFICATE OF MAILING UNDER 37 CFR 1.10

I hereby certify that the paper (and any paper or fee referred to as being enclosed) is being deposited with the United States Postal Service using Express Mail to Addressee Service, under 37 C.F.R. Section 1.10, **Express Mail Label No. EV242753523US** on this date, **September 9, 2003**, postage prepaid, in an envelope addressed to Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Kathleen M. Williams

Name of Person Mailing Paper

Signature of Person Mailing Paper

Mail Stop Patent Application
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Enclosed herewith is a new patent application of:

First Named Inventor (or application identifier): Andrew H. Segal

Title of Invention: Lectin Compositions and Methods of Modulating an Immune Response to an Antigen

Type: ☐ New
☐ Continuation of: _____
☐ Continuation-in-Part of: _____
☒ Divisional of: 10/645,000
 which is hereby incorporated by reference in its entirety into the application filed herewith;

and includes the following papers:

1. ☒ Specification 976 pages (including specification, claims, abstract)/13 claims (1 independent)
2. ☒ Declaration/Power of Attorney is:
 - ☐ Executed ☐ Unexecuted ☐ Executed copy from Parent Application
 - ☒ NOT included, but deferred under 37 C.F.R. § 1.53(f).
3. ☐ _____ Distinct sheets of ☐ Formal ☐ Informal Drawings
4. ☒ Application Data Sheet
5. ☐ Preliminary Amendment.
6. ☐ Information Disclosure Statement
 - ☐ Form 1449 ☐ A copy of each cited prior art reference
7. ☐ Assignment with Recordation Cover Sheet.
8. ☒ Priority is hereby claimed under 35 U.S.C. § 119 based upon the following application(s):

Country	Application Number	Date of Filing (day, month, year)
United States	60/404,823	August 20, 2002
United States	60/487,407	July 15, 2003

9. ☐ Priority is hereby claimed under 35 U.S.C. § 120 based upon the following application(s):

Application Number	Date of Filing (day, month, year)

10. ☒ Priority is hereby claimed under 35 U.S.C. § 121 based upon the following application(s):

NEW UNITED STATES UTILITY PATENT APPLICATION TRANSMITTAL

Atty. Docket No.: 11111/2003D

Application Number	Date of Filing (day, month, year)
10/645,000	August 20, 2003

The above applications from which priority is claimed are hereby incorporated in their entirety into the application filed herewith.

11. ☐ Priority document(s).
12. ☐ Microfiche Computer Program (Appendix).
13. ☐ Nucleotide and/or Amino Acid Sequence Submission.
 ☐ Computer Readable Copy.
 ☐ Paper Copy (identical to computer copy).
 ☐ Statement verifying identity of above copies.
14. ☐ Request for Non-Publication and Certification under 35 USC 122 (b)(2)(B)(i)
15. ☒ Statement of Small Entity Status, Pursuant to 37 C.F.R. §1.27.
16. Calculation of Fees:

FEES FOR	TOTAL CLAIMS	EXCESS CLAIMS	FEE	AMOUNT DUE
Basic Filing Fee (37 C.F.R. § 1.16(a))				\$750.00
Total Claims in Excess of 20 (37 C.F.R. § 1.16(c))	13	0	\$18.00	0.00
Independent Claims in Excess of 3 (37 C.F.R. § 1.16(b))	1	0	\$84.00	0.00
Multiple Dependent Claims (37 C.F.R. § 1.16(d))	NO		\$280.00	0.00
Subtotal - Filing Fee Due				750.00
Reduction by 50%, if Small Entity (37 C.F.R. §§ 1.9, 1.27, 1.28)	MULTIPLY BY 0.50			375.00
TOTAL FILING FEE DUE				375.00
Assignment Recordation Fee (if applicable) (37 C.F.R. § 1.21(h))	0		\$40.00	0.00
GRAND TOTAL DUE				375.00

17. PAYMENT is:
☒ included in the amount of \$375.00 by our enclosed check. The Commissioner is hereby authorized to charge any deficiencies in the fees to Deposit Account 16-0085, Ref. 11111/2003D.
☐ not included, but deferred under 37 C.F.R. § 1.53(f).

18. All correspondence for the attached application should be directed to:

Kathleen M. Williams
Customer Number 29933
 111 Huntington Avenue
 Boston, MA 02199-7613

19. Other: _____

Respectfully submitted,

Date: September 19, 2003

By: _____

Name: Kathleen M. Williams
 Registration No.: 34,380

MAILED 2/19/03

Serial No. Div. of App. # 10/665,000 File No. 1111/2003D By: MWD/bmw

Applicant(s): Seegal, et al.

Title: Lection compositions and Methods for Modulating an immune response to an antigen

The Following, DUE _____ in the USPTO, was received by the PTO Mail Room on the date stamped hereon

- | | |
|---|--|
| <input checked="" type="checkbox"/> Cert. of Mailing by Express Mail (37 CFR 1.10) | <input type="checkbox"/> Response to Notice to File Missing Parts |
| Express Mail Label No. <u>EV26275352305</u> | <input type="checkbox"/> Copy of Part 2 of NFMP |
| <input type="checkbox"/> Cert. of Mailing under 37 CFR 1.8(a) | <input type="checkbox"/> Diskette Containing Nucleotide and/or Amino Acid Sequence Listing |
| <input checked="" type="checkbox"/> Patent Application (<u>976</u> total pgs) | <input type="checkbox"/> Priority Document(s) # _____ |
| <input type="checkbox"/> Provisional or <input checked="" type="checkbox"/> Non-Provisional | <input type="checkbox"/> Amendment/Response |
| <input type="checkbox"/> (2 pgs) Specification (1 pgs) Abstract, | <input type="checkbox"/> Petition for Extension of Time (x2) |
| (2 pgs) Claims (<u>13</u> # claims) | <input checked="" type="checkbox"/> Check in the amount of <u>\$325.00</u> |
| <input checked="" type="checkbox"/> New Patent Application Transmittal | Check # <u>043507</u> |
| <input type="checkbox"/> Provisional Patent Application Cover Sheet | <input type="checkbox"/> Transmittal of Formal Drawings |
| <input type="checkbox"/> Declaration and Power of Attorney | <input type="checkbox"/> Motion/Opposition/Reply |
| <input checked="" type="checkbox"/> Application Data Sheet | <input type="checkbox"/> Request for Cont'd Examination (RCE) |
| <input type="checkbox"/> Drawings _____ Sheet(s) (FIGS. _____) | <input type="checkbox"/> Notice of Appeal |
| <input type="checkbox"/> Formal or <input type="checkbox"/> Informal | <input type="checkbox"/> Appeal Brief (x3) |
| <input type="checkbox"/> Assignment of _____ | <input type="checkbox"/> Issue Fee Transmittal |
| <input type="checkbox"/> Recordation Cover Sheet Form PTO-1595 | <input checked="" type="checkbox"/> Transmittal Letter (x2) |
| <input type="checkbox"/> Information Disclosure Statement | |
| <input type="checkbox"/> Form PTO 1449 and Copies of Cited References | |

☐ Other _____

16018 U.S. PTO

10/666833

MAILED

9/19/03



09/19/03



EV 242753523 US

Mailing Label
Label 114F June 2002



UNITED STATES POSTAL SERVICE® Post Office To Addressee

ORIGIN (POSTAL USE ONLY)				DELIVERY (POSTAL USE ONLY)			
PO ZIP Code	Day of Delivery <input type="checkbox"/> Next <input type="checkbox"/> Second		Flat Rate Envelope <input type="checkbox"/>	Delivery Attempt Mo. Day	Time <input type="checkbox"/> AM <input type="checkbox"/> PM	Employee Signature	
Date In			Postage	Delivery Attempt Mo. Day	Time <input type="checkbox"/> AM <input type="checkbox"/> PM	Employee Signature	
Mo. Day Year	<input type="checkbox"/> 12 Noon <input type="checkbox"/> 3 PM		\$	Delivery Date Mo. Day	Time <input type="checkbox"/> AM <input type="checkbox"/> PM	Employee Signature	
Time In	Military		Return Receipt Fee				
<input type="checkbox"/> AM <input type="checkbox"/> PM	<input type="checkbox"/> 2nd Day <input type="checkbox"/> 3rd Day						
Weight	Int'l Alpha Country Code		COD Fee				
lbs. ozs.	Acceptance Clerk Initials		Insurance Fee				
No Delivery			Total Postage & Fees				
<input type="checkbox"/> Weekend <input type="checkbox"/> Holiday			\$				
CUSTOMER USE ONLY							
METHOD OF PAYMENT: Express Mail Corporate Acct. No.				Federal Agency Acct. No. or Postal Service Acct. No.			
X021129							
FROM: (PLEASE PRINT)				TO: (PLEASE PRINT)			
PALMER & DODGE LLP 111 HUNTINGTON AVE FL 19 BOSTON MA 02199-7610				Mail Stop Patent Application Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450			
Kathleen M. Williams/1215 (MMD) C/M #11111/2003D							

PRESS HARD.
You are making 3 copies.

FOR PICKUP OR TRACKING CALL 1-800-222-1811 www.usps.com



22

175

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of: Segal, et al.
Serial No.: Divisional of Application No.
10/645,000
Filed: September 19, 2003
Entitled: LECTIN COMPOSITIONS AND
METHODS FOR MODULATING
AN IMMUNE RESPONSE TO AN
ANTIGEN

Examiner Not Yet Assigned

Group Art Unit: Not Yet Assigned

Conf. No.: Not Yet Assigned

CERTIFICATE OF MAILING UNDER 37 CFR 1.10

I hereby certify that the paper (and any paper or fee referred to as being enclosed) is being deposited with the United States Postal Service using Express Mail to Addressee Service, under 37 C.F.R. Section 1.10, **Express Mail Label No. EV242753523US** on this date, **September 19, 2003**, postage prepaid, in an envelope addressed to Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Kathleen M. Williams

Name of Person Mailing Paper

Signature of Person Mailing Paper

Mail Stop Patent Application
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

TRANSMITTAL LETTER

Enclosed for filing in the above-identified patent application, please find the following documents:

1. New Patent Application Transmittal;
2. Patent Application Specification, (976 pages);
3. Application Data Sheet;
5. Check in the amount of \$375.00 for the requisite filing fee; and
6. Return Post Card.

Pursuant to 37 C.F.R. § 1.27, Applicant claims small entity status.

The Commissioner for Patents is hereby authorized to charge any additional fees or credit any overpayment in the total fees to Deposit Account No. 16-0085, Reference No. 11111/2003D. A duplicate of this transmittal letter is enclosed for this purpose.

Respectfully submitted,

Date: September 19, 2003

Name: Kathleen M. Williams

Registration No.: 34,380

Customer No.: 29933

Palmer & Dodge LLP

111 Huntington Avenue

Boston, MA 02199-7613

Tel: 617-239-0100



EV 242753523 US

**EXPRESS
MAIL**

UNITED STATES POSTAL SERVICE®

Customer Copy

Label 11-F June 2002

Post Office To Addressee**ORIGIN (POSTAL USE ONLY)**

PSN ZIP Code 02205	Day of Delivery <input checked="" type="checkbox"/> Next <input type="checkbox"/> Second	Flat Rate Envelope <input type="checkbox"/>
Date In 9-19-03	<input checked="" type="checkbox"/> 12 Noon <input type="checkbox"/> 3 PM	Postage \$
Time In 11:15 AM	<input type="checkbox"/> 2nd Day <input type="checkbox"/> 3rd Day	Return Receipt Fee
Weight 10.10.2	Int'l Alpha Country Code	COD Fee Insurance Fee
No Delivery <input type="checkbox"/> Weekend <input type="checkbox"/> Holiday	Acceptance Clerk Initials [Signature]	Total Postage & Fees \$ 51.70

DELIVERY (POSTAL USE ONLY)

Delivery Attempt	Time <input type="checkbox"/> AM <input type="checkbox"/> PM	Employee Signature
Mo. Day		
Delivery Attempt	Time <input type="checkbox"/> AM <input type="checkbox"/> PM	Employee Signature
Mo. Day		
Delivery Date	Time <input type="checkbox"/> AM <input type="checkbox"/> PM	Employee Signature
Mo. Day		
<input type="checkbox"/> WAIVER OF SIGNATURE (Domestic Only) Additional merchandise insurance is void if waiver of signature is requested. If delivery is to be made without obtaining signature of addressee or addressee's agent, delivery employee judges that article can be left in secure location and authorize that delivery employee's signature constitutes valid proof of delivery.		
NO DELIVERY <input type="checkbox"/> Weekend <input type="checkbox"/> Holiday		

CUSTOMER USE ONLY**METHOD OF PAYMENT:**

Express Mail Corporate Acct. No.

X021129Federal Agency Acct. No. or
Postal Service Acct. No.**FROM: (PLEASE PRINT)**

PHONE ()

**PALMER & DODGE LLP
111 HUNTINGTON AVE
BOSTON****FL 19
MA 02111-1910****TO: (PLEASE PRINT)**

PHONE ()

**Mail Stop Patent Application
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450****Kathleen M. Williams/1215 (NMD)
C/M #11111/2003D**PRESS HARD.
You are making 3 copies.**FOR PICKUP OR TRACKING CALL 1-800-222-1811 www.usps.com**

PALMER & DODGE LLP

111 HUNTINGTON AVENUE AT PRUDENTIAL CENTER
BOSTON, MA 02199-7613

TO: Delora Dillard
Crystal Plaza 2, Room 7D25
2011 South Clark Place
Arlington, VA 22202

FROM: Sharon Fernald, for
Eugene Kim
Palmer & Dodge LLP

DATE: March 19, 2004

RE: Serial No. 10/666,833
Filed: September 19, 2003
Attorney Docket No. 11111/2003D

Dear Ms. Dillard:

Pursuant to your telephone conversation with Gene Kim on or about March 17, 2004, relative to the above-referenced patent application, at your request, enclosed is a photocopy of the original application as filed on September 19, 2003, as well as the return postcard received from the USPTO bearing the assigned serial number and filing date.

Please contact Mr. Kim at 617-239-0377 if you have any questions, or need additional documentation.

Many thanks for your assistance in this regard.